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# **Agency Onboarding and Offboarding Processes**

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## *Assessment Report*

National Archives and Records Administration  
March 3, 2022

## **RECORDS MANAGEMENT ASSESSMENT ENTRANCE/ONBOARDING AND EXIT/OFFBOARDING PROCESSES**

### **INTRODUCTION**

The National Archives and Records Administration (NARA), based on authority granted by 44 United States Code (U.S.C.) 2904(c), is responsible for assessing the proper management of records in all media within Federal agencies to protect rights, assure government accountability, and preserve and make available records of enduring value. Under this authority, NARA conducts records management (RM) oversight of Federal agencies, including agency inspections and assessments.

An assessment is a multi-agency evaluation of a specific topic, issue, or activity affecting RM processes, procedures, or policies. The purpose of conducting an assessment is to determine the efficacy of processes, procedures, or policies and to identify common successes and challenges, as well as any best practices that can be shared throughout the Federal RM community.

In the third quarter of FY 2021, NARA conducted an assessment of 7 agencies on their policies and procedures related to the agency's employee entrance/onboarding and exit/offboarding processes. To provide a well-rounded analysis of RM compliance across multiple levels of the Federal government, NARA analyzed data previously gathered from the annual Records Management Self-Assessment (RMSA) to identify the agencies in this assessment (see **Appendix A** for the list of participating agencies). This report synthesizes NARA's analysis of all information gathered prior to and during the assessment.

### **Assessment Scope**

Onboarding refers to the process by which new employees acquire the necessary access, knowledge, skills, and behaviors to become effective members of an organization. Whereas, offboarding is the process that leads to the formal separation between an employee and an organization and usually encompasses activities that ensure proper asset retention, institutional knowledge transfer, and security access terminations.

Whether onboarding or offboarding, all agencies should ensure that individuals who work on behalf of the Federal government that create, manage or have access to Federal records are aware of all Federal RM regulations and recordkeeping requirements, as well as any policies, processes and procedures established by the agency's RM program. Additionally, agencies should have specific controls in place to ensure that agency personnel records are properly managed and preserved until their authorized disposition during these transitional periods.

For this RM assessment, we focused on any agency policies, practices, procedures and documentation related to the onboarding and offboarding processes to better understand each agency's approach, the stakeholders involved, and how the agency's RM program is integrated into both processes.

## **Assessment Methodology**

During the assessment, NARA requested that participating agencies submit responses to a pre-assessment questionnaire and provide certain relevant documentation. NARA also conducted interviews with each agency asking questions that focused on the structure and stakeholders involved in each process, tracking and accountability, RM training, and electronic RM.

## **SUMMARY AND ANALYSIS**

### **Pre-Assessment Questionnaire**

The tables in **Appendix A** and **Appendix B** show the summary of agency responses to the pre-assessment questionnaire. NARA initially surmised that each of the participating agencies had a specific, defined on and off boarding process for Federal employees. Some agencies indicated that there is a different on and off boarding process for other types/categories of agency personnel like contractors, volunteers and interns. Only about half of the agencies covered specific RM information, and involved its RM program during onboarding new employees. Almost all of the agencies stated that both onboarding and offboarding participation is mandatory, tracked and involved the use of checklists and forms. There were a few responses to the pre-assessment questionnaire that changed during the agency's assessment interview.

### **Agency Document Submissions**

During the assessment NARA requested that agencies provide any documentation that specifically related to RM during both the on and off boarding processes. The table in **Appendix C** summarizes the types of documents received and reviewed for this assessment. Some documentation included agency policies, standard operating procedures (SOPs), training presentations, RM manuals/handouts, checklists, forms, and workflow diagrams related to the onboarding and offboarding processes. Most agencies used checklists during the on and offboarding process, provided PowerPoint presentation slides of RM training during onboarding, and about half of the participating agencies had written SOPs for either process.

### **Agency Stakeholders**

Most agencies indicated that the on and off boarding processes involved multiple agency stakeholders. The on and off boarding processes are typically owned, initiated and managed by Human Resources (HR)/Capital Management (CM) offices. Other stakeholders could include agencies' Security, Information Technology (IT), RM, Building Facility, General Counsel (GC) offices and direct supervisors; the level of involvement of each stakeholder varied from agency to agency.

## FINDINGS AND RECOMMENDATIONS

### Onboarding

The onboarding process offers an imprinting window where lasting impressions can be made on new employees for the duration of their careers. It is not only critical for a new employee to understand their specific job responsibilities, but they also need to understand the importance of basic operating processes and procedures that apply across the organization.

Federal records are important business assets with continuing value in protecting the rights and interests of the public, holding officials accountable for their actions, and documenting our nation's history. Whenever individuals embark on service on behalf of the Federal government as a Federal employee, contractor, intern, volunteer or in any other capacity, it is important to lay the foundation for proper records and information management.

#### **Finding 1: Inadequate RM program involvement and dissemination of RM information during onboarding.**

Several agencies in this assessment indicated that their RM program is not consistently involved with the onboarding process, and that RM overall is not typically covered during onboarding or new employee orientation. Some RM programs have little to no input with onboarding new employees, while other RM programs are notified and get involved with onboarding new political appointees or senior capstone officials only.

It is important for RM programs to have consistent involvement with onboarding to not only ensure that new employees are effectively introduced to Federal recordkeeping requirements and regulations, but to also establish how critical RM is to the mission of the entire Federal government.

Transmission of RM information during the onboarding process, or new employee orientation, should be simple, relatable and thought-provoking. It is not necessary to cover all of the myriad RM rules and regulations at this time, rather individuals should walk away understanding what RM is, why it is important, where to find resources, and who they should contact for any RM needs.

During onboarding/orientation an agency's RM program could provide a brief presentation, RM handouts or conduct live demonstrations of navigating an agency's RM intranet website. Whatever method of communication is used, the focus should be to illustrate simple ways to integrate RM into daily practices, and to clearly identify all available RM resources within the agency.

*Recommendation 1.1: Federal agencies should always inform the agency RM program of all types of incoming personnel and allow the agency RM program to have substantial input w/ the onboarding process.*

*Recommendation 1.2: RM programs should have established, consistent ways of communicating basic RM information to new agency personnel during onboarding.*

**Finding 2: Inefficient RM training requirements and tracking.**

According to *NARA Bulletin 2017-01: Agency Records Management Training Requirements*,

All agency personnel with email accounts or IT network resource access **must complete records management training within 60 days of employment** and must complete annual refresher training... Agencies must provide records management training to all agency personnel that create, receive, access, or use Federal records on behalf of the agency, regardless of whether those individuals have email accounts or IT network access.

Most agencies in this assessment could not ensure that all incoming agency personnel complete basic RM training within 60 days; two agencies did not have any mandatory agency-wide RM training, and one agency's basic RM training did not meet many of the minimum requirements outlined in NARA Bulletin 2017-01.

RM exists to support the infrastructure of the Federal government, but the quality of this support depends on how well agency personnel perform their recordkeeping requirements. Basic RM training is the primary resource agencies have to inform personnel about RM policies and regulations, recordkeeping responsibilities and other pertinent RM processes and procedures.

*Recommendation 2.1: Agencies must ensure that all individuals serving on behalf of the Federal government, i.e. Federal employees, contractors, interns, or volunteers complete basic RM training within 60 days of their tenure in accordance with NARA Bulletin 2017-01.*

*Recommendation 2.2: All Federal agencies are required to have mandatory basic RM training annually for all agency personnel.*

*Recommendation 2.3: An Agency's basic RM training must meet all requirements outlined in NARA Bulletin 2017-01*

*Recommendation 2.4: Agencies should establish processes and procedures that accurately and efficiently track RM training completion for all personnel that create, receive, access, or use Federal records on behalf of the agency.*

**Finding 3: Ineffective use of checklists during onboarding.**

Almost all agencies used a checklist during the onboarding process. Most agencies had a general checklist for new employees only, but some agencies had additional checklists for supervisors of new employees and for HR personnel.

Many checklists covered general aspects of onboarding like: new employee orientation activities, mandatory forms and training, contact information of important offices, and helpful agency intranet links and resources. Only a few agencies had an item on their checklist directly related to RM, specifically RM training, but one agency did have an entire checklist dedicated to several aspects of RM. Many checklists broke up tasks and information into varying increments of time, for example, there were specific tasks for the first day, first week, within 30 days, 3 months and so on.

Most agencies indicated that they could not confirm how the checklists were being used because they were typically given as a form of guidance. Only one agency required supervisors to complete the new employee checklist with their new hire, sign and retain the completed checklist.

Checklists are simple but effective tools to ensure consistency when executing a task or process, and can also be used to document compliance and completeness. (See **Appendix E** for a Model Records and Information Entrance Checklist).

*Recommendation 3.1: Agency RM programs should ensure that critical aspects of RM, like training and training deadlines, RM program contacts, intranet RM resources, and basic RM instructions are included on the RM onboarding checklist.*

*Recommendation 3.2: Agency RM programs should require RM checklist recipients to complete and submit the checklist to someone in authority, like a supervisor, HR or to the RM program within a reasonable timeframe after onboarding.*

## **Offboarding**

Offboarding is the process that takes place when employees leave deliberately, when they are terminated, or when other uncontrollable events result in the end of the employee's tenure at an agency. Offboarding is critical for agencies because it is the process that leads to the formal separation between the employee and the organization, and usually encompasses activities that ensure proper asset retention, institutional knowledge transfer, and security access terminations.

Agency RM programs should use the offboarding process as a final checkpoint to validate whether or not departing employees have sufficiently fulfilled all record keeping requirements, and to ensure that all necessary actions were made for the continuation of proper management and preservation of all records they created, managed or had access to.

## **Finding 4: Inadequate RM program involvement**

Similar to onboarding, most agencies indicated that their RM program is not consistently involved with the offboarding process. Some RM programs have little to no input with offboarding employees, while other RM programs are notified and get involved with offboarding political appointees or senior capstone officials only.

As previously mentioned, the offboarding process is critical because it is the only time an organization can ensure proper retention of assets, transfer of institutional knowledge, and termination of secured access for exiting personnel. 36 CFR 1220.34 (i) mandates that agencies institute controls to ensure that all records, regardless of format or medium, are properly organized, classified or indexed and described, and made available for use by all appropriate agency staff. An agency's RM program's consistent involvement with offboarding is one way that an agency can ensure compliance with the requirements of 36 CFR 1220.34(i).

*Recommendation 4.1: When individuals are leaving an agency the RM program must have procedures and protocols in place to validate whether or not exiting personnel have successfully:*

- *Separated personal information and non-record material from Federal records;*
- *Transferred Federal records in all formats to the appropriate RM custodian or RM application;*
- *Ensured that working papers, notes, calculations, drafted documents or any form of raw data is still available after their departure; and*
- *Made the necessary provisions for any protected or encrypted devices, accounts, systems, or files to be accessible before they leave.*

*Recommendation 4.2: The agency RM program must ensure that any nonrecord, personal materials or copies of Federal records being removed by a departing individual are examined, approved and documented by the RM program to ensure that all requirements of 36 CFR 1222.18 are met.*

*Recommendation 4.3: It is the primary responsibility of the agency's RM program to assure the safeguarding of Federal records until they are authorized for disposition. Thus, it should be mandatory for an agency's RM program to have significant input, and direct participation, with the offboarding process to ensure that departing personnel have successfully fulfilled all necessary recordkeeping requirements.*

## **Finding 5: Ineffective use of checklists**

Most of the agencies used a checklist during the offboarding process, requiring departing employees and even supervisors of departing employees to use checklists for guidance during offboarding.

Most checklists covered general aspects of offboarding like transfer of responsibilities, completion of required forms and documentation, facilities, financials and benefits, confidentiality and ethics, RM, IT systems access and property returns. Half of the participating agencies had a separate checklist that covered RM.

Most agencies that had a specific RM checklist indicated that it was used as a form of guidance or as a self-assessment tool. It was not mandatory for employees to complete nor submit the checklist to anyone before departure.

As mentioned previously, checklists are simple but effective tools to ensure consistency when executing a task or process, and can also be used to document compliance and completeness (See **Appendix F** for a Model Records and Information Exit Checklist).

*Recommendation 5.1: Agencies should ensure that critical aspects of RM like: transfer, accessibility, organization, and location of records; as well as identification of documentary materials being removed are recorded on the offboarding/exit checklist.*

*Recommendation 5.2: Offboarding/exit checklists should also outline basic RM instructions personnel need to follow in order to fulfill their record keeping responsibilities.*

*Recommendation 5.3: Finally, checklist recipients should complete and submit the checklist for validation and tracking purposes to the RM program.*

### **Finding 6: Improper retention of email**

According to *NARA Bulletin 2014-06*, agencies must have policies and procedures in place to identify emails that are Federal records. These policies must ensure that emails identified as Federal records are retained and managed in an agency recordkeeping system, and the *Managing Government Records Directive* has required Federal agencies to manage all email electronically since December 31, 2016. Failure to identify and manage email as Federal records can result in their loss.

A few agencies were unable to confirm how they ensured proper retention and preservation of emails from the email accounts of departing personnel.

*Recommendation 6.1: According to NARA's Success Criteria for Managing Email Records in Compliance with the Managing Government Records Directive, all Federal agencies must have a NARA-approved records schedule in place to be able to carry out the disposition of permanent and temporary email records – using either agency-specific schedules or General Records Schedule (GRS) 6.1: Email Managed under a Capstone Approach.*

*Recommendation 6.2: Agencies' RM programs must collaborate with their IT programs to ensure that the emails of departing employees are being preserved in accordance with all NARA-approved records schedule(s), and to comply with 36 CFR 1220.30 and the following recordkeeping requirements. Electronic systems that preserve and manage emails must:*

- *Provide for the grouping of related records into classifications according to the nature of the business purposes the records serve;*
- *Permit easy and timely retrieval of both individual records and files or other groupings of related records;*
- *Retain the records in a usable format for their required retention period as specified by a NARA-approved records schedule;*
- *Be accessible by individuals who have a business need for information in the system;*
- *Preserve the transmission and receipt data specified in agency instructions; and*

- *Permit transfer of permanent records to the National Archives and Records Administration (see 36 CFR 1235.44 - 1235.50 and 36 CFR 1236.20).*

*Recommendation 6.3: If an agency does not have a NARA-approved records schedule to manage email, that agency's RM program must contact their NARA appraisal archivist immediately, and treat all emails as unclassified records; all unclassified records must be retained until a records schedule is approved by NARA (36 CFR 1225.14(c)(2)).*

### **Finding 7: No formal clearance processes**

According to NARA's guidance *Documenting Your Public Service*, Federal records must be maintained under the control of the Government. Employees generally may take extra copies of Federal records that are already publicly available, subject to each agency's review and approval. Any removal of information is subject to review by officials from your agency.

Approval should be granted only if all of the following conditions are met:

- removal would not adversely impact the official records of the agency;
- removal would be at no cost to the agency;
- the materials do not contain classified national security information;
- the information removed is not subject to the Privacy Act of 1974 (5 U.S.C. 552a); and
- disclosure of the information removed is not otherwise prohibited by law.

During this assessment, most agencies confirmed that they allowed the removal of information by individuals exiting the agency, but did not have a formal review and approval process. Establishing a formal clearance process could ensure that an agency's RM program interacts with every employee before departure to validate that employees have taken all necessary steps to properly manage and preserve Federal records until their authorized disposition.

*Recommendation 7.1: Agency RM programs must have policies and procedures in place that address the review and approval of what types of information personnel can leave with to ensure compliance with 36 CFR 1222.18.*

*Recommendation 7.2: Agency RM programs should create a formal clearance process for offboarding all types of agency personnel.*

### **Finding 8: RM and returned electronic devices**

Most agencies were unable to describe what happens to electronic devices i.e. desktops, laptops, cell phones or tablets of departing employees, and did not have established processes for reviewing returned electronic devices to ensure that they did not contain Federal records.

One agency reported that when someone leaves, IT and HR collaborate to confirm that all issued electronic devices are received. IT then evaluates whether or not information is stored on the

device. If information is found, IT works with the RM program to assess if the information contains any Federal records and to instruct IT on the appropriate next steps.

While most agencies have policies and procedures in place that instruct employees to use network drives and electronic RM systems as the primary method for preserving and managing Federal records, if the functionality of storing information on an electronic device exists agencies should develop processes and procedures that ensure devices with storing capabilities are accessible for review to confirm that they do not contain Federal records when these devices are returned by departing personnel.

Recently, NARA has had a few unauthorized disposition cases that demonstrate the necessity for agencies to establish methods of processing electronic devices, especially tablets and cellphones, to ensure that all Federal records are being retained appropriately.

*Recommendation 8: Agency RM programs must collaborate with IT to develop processes and procedures that ensure returned electronic devices are fully accessible, and are reviewed to confirm that the electronic device does not contain Federal records; thus assuring compliance with 36 CFR 1220.34(i).*

## **MAJOR AGENCY CHALLENGES**

Participating agencies indicated various challenges they encounter during the on and offboarding processes. Here is a summary of what most agencies consistently described as their major challenges.

### **1. RM program authority and resources**

Many agency RM programs felt that they were not privy to all notifications of incoming and outgoing personnel, especially non-Federal personnel, and did not have the necessary authority to assure their consistent involvement with both processes.

Additionally, those agencies who are involved with either process, reported that their RM program lacked sufficient resources, i.e. time, money, technology or people to develop, implement and effectively manage RM tools and procedures during on and offboarding.

### **2. Notification of entering and exiting employees**

Some agencies indicated that when the RM program is asked to be involved with on or offboarding an employee they get very little lead time to be sufficiently prepared to address RM, and also feel as though their role in either process is more reactive than proactive. One agency's RM program indicated that not having enough notification during offboarding critically limited their ability to know what records are taken from their agency as they are not afforded the opportunity to walk through RM-related questions with departing employees.

### **3. Employee participation**

While almost all of the agencies initially indicated that employee participation was mandatory for both on and offboarding processes, during interviews several agencies reported that employees have left without going through the offboarding process. And a few agencies said that it was difficult getting new employees to actively participate and respond to onboarding RM requirements.

### **4. RM and non-Federal agency personnel**

Most agencies were unable to provide specific information regarding the on and offboarding processes for non-Federal employees like contractors, volunteers, and interns. All of the agencies indicated that their Offices of Acquisition/Procurement were solely responsible for on and offboarding contractors, and sometimes interns, and that the process could be similar to that of Federal employees.

Each participating agency's RM program did not have input with on or off boarding contractors, volunteers and interns. Agencies identified that Contracting Officer Representatives (CORs) were responsible for communicating RM requirements and regulations via contracts and through RM training. The agencies that had mandatory basic RM training for Federal employees confirmed that the same training was available for any non-Federal personnel who had access to their IT network, but they did not track training completion for this subset of agency personnel.

Several agencies' RM and HR/HC programs expressed that more controls exist for Federal employees, but with other types of agency personnel there are no controls in place for their entrance and departure. Agencies felt that there is a huge lack of visibility of the comings and goings of contractors throughout the Federal government, and that the RM program should have more involvement with on and offboarding non-Federal personnel, especially those with access to Federal records.

### **5. Lack of Federal regulations and NARA guidance**

Most agencies indicated that the nonexistence of specific Federal regulations or NARA guidance that instructs agencies on how their RM programs should be involved in on and offboarding agency personnel is a major obstacle.

Agencies reported that it is difficult to raise the importance of RM during these processes because they do not have specific regulations, or NARA guidance, to secure the necessary approvals and resources from senior management to establish and execute RM controls during on and offboarding.

Some agencies would like to see specific Federal regulations and or mandated NARA guidance that help RM programs solidify their involvement with on/offboarding of both Federal and non-

Federal employees, and instruct RM programs on how they should be involved with on and offboarding.

## **BEST PRACTICES**

Throughout this report we mention various ways agencies can improve compliance with Federal recordkeeping requirements by better integrating their RM program into the on and offboarding processes. Some other best practices include:

### **1. Process automation**

Two agencies use an electronic workflow system to automate the on/off boarding processes. These workflow systems allow for seamless communication between agency stakeholders and employees. One agency's system requires stakeholders and employees to make specific actions in order to move through the process for successful completion. These systems track both stakeholder and employee requirements, ensuring that each requirement is fulfilled before allowing access to the next step.

### **2. Stakeholder collaboration**

A few agencies had their RM program collaborate with other stakeholders during on/offboarding to integrate RM into more visible aspects of their organization. One agency combined RM and ethics training during onboarding. Another agency had their IT, HR and RM collaborate to develop a process for assessing returned electronic devices to ensure that all Federal records are captured. And another agency has their RM program coordinate with supervisors to ensure that departing employees successfully execute their recordkeeping requirements.

Oftentimes RM is not given the same level of importance as other organizational functions like IT, Security and HR. Creating agency procedures and training that overlap with other prominent stakeholders can increase the visibility and importance of RM, as well as widen the reach of the RM program.

### **3. IT tools**

One agency reported that they use a Mobile Device Management (MDM) tool that takes all text messages that are received on agency devices and automatically forwards those messages to the agency email account assigned to the device user, so that text messages are managed as an email object.

MDM is software that allows IT administrators to control, secure and enforce policies on smartphones, tablets and other endpoints. Additionally, MDM software gives IT administrators the capability to deploy applications and actions across managed devices without end user input.

## **CONCLUSION**

The purpose of this assessment was to determine the efficacy of agencies' processes, procedures, and policies as it relates to RM during the onboarding and offboarding of agency personnel. This assessment has identified 8 findings, 20 recommendations, 5 major challenges and 3 best practices from the participating agencies.

In summary, these are the prominent risks that can negatively impact the effective preservation and management of Federal records as it relates to on and offboarding agency personnel:

- Inadequate involvement of agency RM programs with either process
- Insufficient dissemination of RM resources to agency personnel during onboarding
- Noncompliant RM training and ineffective tracking of training completion
- Non-enforceable use of checklists and omission of RM on checklists used for on and off boarding
- Improper retention of emails from departed agency personnel accounts
- Absence of a formal clearance process for removing information during offboarding, and
- Ineffective processing of returned electronic devices to validate preservation of any information stored on those devices

Agency RM programs reported that their major challenges during on and offboarding were:

- Insufficient authority and resources to establish and implement policies and procedures that improve RM controls during both processes
- Inconsistent notification of when personnel join and leave the agency
- Untimely responsiveness and inconsistent levels of participation during on and offboarding
- Little to no input regarding the movement of non-Federal agency personnel, and
- Lack of Federal regulations and specific NARA guidance that authorizes agency RM programs to establish and execute RM controls during the on and offboarding processes

Finally, some best practices that agencies used to better integrate RM into either process included:

- Process flow automation
- Stakeholder collaboration, and
- IT tools

Onboarding and offboarding are critical periods for both agencies and agency personnel. Successful onboarding helps new employees acquire the basic knowledge, skills and behaviors to quickly become effective contributors within an organization. Agency RM programs should use the onboarding process to establish the importance of RM, and lay a solid foundation that supports agency personnel in successfully meeting their Federal recordkeeping requirements.

Offboarding is the only time that agencies can ensure that organizational assets and institutional knowledge are effectively secured and retained. Agency RM programs should have consistent involvement with all types of departing personnel to validate adherence to all RM regulations,

policies and procedures to ensure that Federal records are preserved and managed properly until their authorized disposition.

**APPENDIX A**

**List of participating agencies**

<b>Department</b>	<b>Agency</b>
Department of Defense	Defense Contract Audit Agency
Department of Agriculture	Rural Development
Department of Labor	Office of the Ombudsman
	Government Publishing Office
	National Mediation Board
	Corporation for National and Community Service
	National Archives Records Administration

**APPENDIX B**

**Pre-Assessment Questionnaire: Onboarding Questions**

Questions	No. of agencies that responded YES
Does your agency have an entrance/onboarding process for any of the groups below? Please check all that apply.	
Federal employees	7
Political appointees	6
Contractors	5
Volunteers	4
Interns	6
Are there any other groups who work on behalf of the agency and create, manage or have access to federal records that are not listed above?	*3 agencies listed other groups
Are there any agency policies that document/discuss the entrance/onboarding process?	4
Is participation in the entrance/onboarding process mandatory?	6
Is participation in the entrance/onboarding process tracked?	6
Are there consequences for individuals who do not participate in the entrance/onboarding process?	4
Is your Records Management Program involved in your entrance/onboarding process?	5
Are any aspects of Records Management covered during the onboarding process?	4
Is the onboarding process different for non-Federal employees?	3
Does your agency use checklists/forms for the onboarding process?	6

## APPENDIX C

### Pre-Assessment Questionnaire: Offboarding Questions

Questions	No. of agencies that responded YES
Does your agency have an exit/offboarding process for any of the groups below? Please check all that apply.	
Federal employees	7
Political appointees	6
Contractors	7
Volunteers	3
Interns	5
Are there any other groups who work on behalf of the agency and create, manage or have access to federal records that are not listed above?	*4 agencies listed other groups
Are there any agency policies that document/discuss the exit/offboarding process?	5
Is participation in the exit/offboarding process mandatory?	5
Is participation in the exit/offboarding process tracked?	6
Are there consequences for individuals who do not participate in the exit/offboarding process?	3
Is your Records Management Program involved in your exit/offboarding process?	4
Is the exit/offboarding process different for non-Federal employees?	3
Does your agency use checklists/forms for the exiting process?	6
Does your agency allow the removal of information by individuals exiting the agency?	4

## APPENDIX D

### Agency Documentation

Category and type of documentation	No. of Agencies
<b>Agency Policies</b>	
RM Policy	3
IT Property Management Policy	1
Property Management Policy	1
RM Exit Policy	1
<b>PowerPoint Presentations and Handouts</b>	
New Hire Orientation	2
Basic RM Training	4
Senior Officials/Capstone RM Training	2
Exit Briefing	1
RM Handouts	3
Supervisors of New Hire Training	2
<b>SOPs and Manuals</b>	
Onboarding SOP	1
Off boarding SOP	3
RM Manual	3
RM SOP	1
<b>Flow Charts</b>	
Onboarding flow chart	3
Off boarding flow chart	2
<b>Checklists, Forms and FAQs</b>	
On boarding checklist	4
Off boarding checklist	5
New hire forms	1
Employee exit form	2

<b>Category and type of documentation</b>	<b>No. of Agencies</b>
Document removal form	1
New hire FAQ	2
Exit process FAQ	1
<b>Reports and Other Documents</b>	
Sample On/Off boarding employee status report	1
NARA Approved Records Schedules	1

## APPENDIX E

### Model Records and Information Entrance Checklist

This checklist describes important records management responsibilities you should understand as you begin Federal service. As a reminder, agency business should be performed on agency systems and accounts. Personal accounts should only be used in exceptional circumstances and not as a routine practice. More information about your responsibilities and the definitions of records management terms can be found in the National Archives and Records Administration’s (NARA) web publication, *Documenting Your Public Service*.

#	Questions	Yes	No
1	Have you completed your agency’s records management training?		
2	Are you aware of the types of records you will likely create or work with and the length of time they must be kept?		
3	Do you know how to properly maintain and store Federal records you create, including in electronic and analog formats? Specifically, do you know where to save your records?		
4	You should not mix personal materials and agency business records together. Have you set up procedures for maintaining personal materials separately from agency work?		
5	Are you aware of agency policies and NARA requirements related to the use of personal email accounts to conduct official business?		
6	Are you aware of your agency’s policies if you want to use a new software, tool, or service to conduct agency business?		
7	Are you aware of the requirements to cc or forward any Federal record created or received in personal email or electronic messaging accounts to your official account within 20 days?		
8	If you are using a non-agency provided device (including a computer or mobile phone) for work, are the information and records you create captured in agency accounts or systems?		
9	If your agency provides you a mobile device, do you know how to ensure records created using the device are captured in record keeping systems?		

#	Questions	Yes	No
10	Do you know who to contact with questions about managing your records and information?		

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Individual signature block

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Supervisor signature block

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Records management official signature block

## APPENDIX F

### Model Records and Information Exit Checklist

This checklist describes tasks you should complete to ensure your records are properly managed as you leave Federal service. More information about your responsibilities and the definitions of records management terms can be found in the National Archives and Records Administration's (NARA) web publication, *Documenting Your Public Service*.

#	Questions	Yes	No	N/A
1	Have you ensured that all records are captured in official recordkeeping systems and available to agency staff after you leave? Note, depending on the length of service at your agency, it may take several business days to properly identify and capture all paper and electronic records found at your office or telework location and on shared drives, cloud networks, and agency-provided or personal devices.			
2	Have you arranged for an exit interview with your agency's records management staff or designated official?			
3	Can all password protected or encrypted accounts, systems, and files be accessed after your departure?			
4	Have you returned all records checked out to you to the appropriate storage facility (either a NARA Federal Records Center, an agency records center, or an approved third-party storage provider)?			
5	Have you turned over all information requests for which you were responsible, for example FOIA requests?			
6	Have you identified and preserved records in your care relating to audits or Congressional inquiries?			
7	Have you identified and notified your agency's legal staff of all records in your care relating to litigation holds?			
8	Have you ensured that all sensitive personally identifiable information, protected health information, FOIA-restricted, and classified information is still under agency control?			
9	Do you understand that Federal records may not be removed from Government custody, nor may they be destroyed without a records			

#	Questions	Yes	No	N/A
	disposition schedule that has been approved by the Archivist of the United States? Penalties may be enforced for the unlawful removal or destruction of records. The maximum penalty for the willful and unlawful destruction, damage, or alienation of Federal records is three years in prison (18 USC 2071)			
10	Has an official at your agency reviewed all personal material, non-record, and copies of record material (both in digital and paper format) you wish to remove to ensure no sensitive information or records are leaving the agency?			

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 Individual signature block

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 Supervisor signature block

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 Records management official signature block



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